

TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

ETAS ID: TM448018

SUBMISSION TYPE:	CORRECTIVE ASSIGNMENT		
NATURE OF CONVEYANCE:	Corrective Assignment to correct the recordation of change of name in order to exclude Registration Nos. 4363759 and 4951901 previously recorded on Reel 006156 Frame 0310. Assignor(s) hereby confirms the change of name as to the remaining three registrations.		
CONVEYING PARTY DATA			
Name	Formerly	Execution Date	Entity Type
ConvergEx Execution Solutions LLC		06/01/2017	Limited Liability Company: DELAWARE
RECEIVING PARTY DATA			
Name:	Cowen Execution Services LLC		
Street Address:	1633 Broadway		
City:	New York		
State/Country:	NEW YORK		
Postal Code:	10019		
Entity Type:	Limited Liability Company: DELAWARE		
PROPERTY NUMBERS Total: 3			
Property Type	Number	Word Mark	
Registration Number:	3621077	IQX	
Registration Number:	4037974	A SMARTER WAY TO PRIME	
Registration Number:	4929263	ETF DIRECT	
CORRESPONDENCE DATA			
Fax Number:	2124684888		
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>			
Phone:	2124684800		
Email:	jkatz@dglaw.com		
Correspondent Name:	Jeffrey C. Katz		
Address Line 1:	Davis & Gilbert LLP, 1740 Broadway		
Address Line 4:	New York, NEW YORK 10019		
ATTORNEY DOCKET NUMBER:	027400-0001-000		
NAME OF SUBMITTER:	Jeffrey C. Katz		
SIGNATURE:	/Jeffrey C. Katz/		
DATE SIGNED:	10/20/2017		

CH \$90.00 3621077

Total Attachments: 4

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TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

ETAS ID: TM443443

SUBMISSION TYPE:	NEW ASSIGNMENT		
NATURE OF CONVEYANCE:	CHANGE OF NAME		
CONVEYING PARTY DATA			
Name	Formerly	Execution Date	Entity Type
ConvergEx Execution Solutions LLC		06/01/2017	Limited Liability Company: DELAWARE
RECEIVING PARTY DATA			
Name:	Cowen Execution Services LLC		
Street Address:	1633 Broadway		
City:	New York		
State/Country:	NEW YORK		
Postal Code:	10019		
Entity Type:	Limited Liability Company: DELAWARE		
PROPERTY NUMBERS Total: 5			
Property Type	Number	Word Mark	
Registration Number:	4037974	A SMARTER WAY TO PRIME	
Registration Number:	4929263	ETF DIRECT	
Registration Number:	3621077	IQX	
Registration Number:	4951901	NXP DARK	
Registration Number:	4363759	REAL-TIME EDGE	
CORRESPONDENCE DATA			
Fax Number:	2124684888		
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>			
Phone:	212-468-4800		
Email:	jkatz@dglaw.com		
Correspondent Name:	Jeffrey C. Katz		
Address Line 1:	Davis & Gilbert LLP, 1740 Broadway		
Address Line 4:	New York, NEW YORK 10019		
ATTORNEY DOCKET NUMBER:	027400-0001-000		
NAME OF SUBMITTER:	Jeffrey C. Katz		
SIGNATURE:	/Jeffrey C. Katz/		
DATE SIGNED:	09/18/2017		

CH \$140.00 4037974

Total Attachments: 2

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Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "CONVERGEX EXECUTION SOLUTIONS LLC", CHANGING ITS NAME FROM "CONVERGEX EXECUTION SOLUTIONS LLC" TO "COWEN EXECUTION SERVICES LLC", FILED IN THIS OFFICE ON THE THIRTY-FIRST DAY OF MAY, A.D. 2017, AT 6:14 O`CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID CERTIFICATE OF AMENDMENT IS THE FIRST DAY OF JUNE, A.D. 2017 AT 8 O`CLOCK A.M.




Jeffrey W. Bullock, Secretary of State

2803176 8100
SR# 20174423846

You may verify this certificate online at corp.delaware.gov/authver.shtml

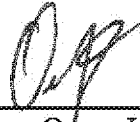
Authentication: 202631461
Date: 06-01-17

TRADEMARK
REEL: 006186 FRAME: 0832

STATE OF DELAWARE
CERTIFICATE OF AMENDMENT
OF
CONVERGEX EXECUTION SOLUTIONS LLC

1. The name of the limited liability company is **ConvergEx Execution Solutions LLC**.
2. Paragraph 1 and 2 of the Certificate of Formation of the limited liability company are hereby amended as follows:
 - "1. The name of the limited liability company is **Cowen Execution Services LLC** (the "Company").
 - "2. The address of the registered office of the Company in the State of Delaware is 850 New Burton Road, Suite 201, Dover, Delaware 19904 in the County of Kent. The name of the registered agent of the Company is **Cogency Global Inc.**
3. This filing is to become effective on June 1, 2017 at 8:00 AM EST.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Amendment as of 31st day of May, 2017. '1



Name: Owen Littman
Title: Authorized Person